

Options Account Addendum

期權帳戶附件

These terms for options trading are supplemental to Cash Account Agreement (the “**Agreement**”) between the Customer and CIS Securities Asset Management Limited (the “**Company**”), an Options Trading Exchange Participant admitted and registered by the Stock Exchange of Hong Kong Limited (the “**Exchange**”).

The Customer requests the Company to operate an options client account (the “**Options Account**”) for the Customer, in relation to the transaction of exchange traded options business and to transact exchange traded options business for the Customer’s account through the Options Account and in accordance the Customer’s instructions. The terms defined in the Agreement, the Exchange’s Options Trading Rules and the Clearing Rules, have the same meaning in this Addendum. The Options Account will be operated on the following terms and condition:-

The Account

1. The Customer confirms that
 - 1.1. (unless written approval of the Exchange has been obtained prior to the opening of the Options Account) the Customer are not an Exchange Participant or employed by any other Options Exchange Participant of the Exchange, and no employee of any other Options Exchange Participant will have a beneficial interest in the Options Account; and either
 - 1.2. the Options Account is operated solely for the Customer’s account and benefit, and not for the benefit of any other person; or
 - 1.3. the Customer has disclosed to the Company in writing the name of the person(s) for whose benefit the Options Account is being operated; or
 - 1.4. the Customer has requested the Company to operate the Options Account as an Omnibus Account, and will immediately notify the Company, on request, of the identity of any person(s) ultimately beneficially interested in the Client Contracts.
2. The Company will keep information relating to the Customer’s Options Account confidential, but may provide any such information to the Hong Kong Regulators and Hong Kong Exchanges and Clearing Limited to comply with their requirements or requests for information.

Laws and rules

3. All exchange traded options business shall be effected in accordance with all laws, rules and regulatory directions (the “**Rules**”) applying to the Company. This includes the Options Trading Rules of the Exchange, the Clearing Rules of The SEHK Options Clearing House Limited (“**SEOCH**”) and the rules of Hong Kong Securities Clearing Company Limited (“**HKSCC**”). In particular, SEOCH has authority under the Rules to make adjustments to the terms of Contracts, and the Company shall notify the Customer of any such adjustments which affect client contracts to which the Customer is a party. All actions taken by the Company, by the Exchange, by SEOCH or by HKSCC in accordance with such Rules shall be binding on the Customer.
4. The Customer agrees that the terms of the standard contract for the relevant options series shall apply to each client contract between the Customer and the Company, and that all client contracts shall be created, exercised, settled and discharged in accordance with the Rules.
5. The Customer agrees to indemnify the Company, and its employees and

此等期權交易條款為客戶與順安證券資產管理有限公司（「本公司」），一所於香港聯合交易所有限公司（「交易所」）註冊的期權交易所參與者訂立之現金帳戶協議（「該協議」）之補充條件及條款。

客戶要求本公司為客戶運作期權客戶帳戶（「期權帳戶」），根據客戶的指示處理在交易所交易的期權業務及通過客戶期權帳戶進行在交易所交易的期權業務的交易。在該協議、交易所的期權交易規則及結算規則所界定的詞語，在本附件內具有相同的意義。期權帳戶將按以下條款及條件運作：

帳戶

1. 客戶確認
 - 1.1. (除非事前取得交易所書面准許開立期權帳戶)客戶並非交易所參與者，亦無受僱於交易所任何其他期權交易所參與者，亦沒有任何其他期權交易所參與者的僱員會在期權帳戶擁有實益權益；及
 - 1.2. 期權帳戶只為客戶帳戶的利益運作，而並非為任何其他人士的利益運作；或
 - 1.3. 客戶已用書面向本公司披露期權帳戶運作實益人的姓名；或
 - 1.4. 客戶已要求本公司以綜合帳戶運作期權帳戶，並會即時應要求通知本公司任何擁有客戶合約最終實益權益的人士之身份。
2. 本公司將對客戶的期權帳戶的有關資料保密，但可提供任何該等資料予香港監管機構及香港交易所及結算有限公司，以遵守他們的規定或滿足其索取資料的要求。

法例及規則

3. 所有在交易所交易的期權業務，須根據適用於本公司的一切法例、規則和監管指示的規定（「規則」）而進行，這包括交易所的期權交易規則、香港聯合交易所期權結算所有限公司（「聯交所期權結算所」）的結算規則及香港中央結算有限公司（「中央結算公司」）的規則。尤其是聯交所期權結算所擁有根據規則所賦予的權力可更改合約的條款，倘有關更改影響客戶參與訂立的客戶合約，則本公司須就該項更改通知客戶。本公司、交易所、聯交所期權結算所及中央結算公司根據該等規則而採取的所有行動均對客戶具有約束力。
4. 客戶同意有關期權系列的標準合約的條款適用於客戶與本公司之間的每份客戶合約，而所有客戶合約須根據規則訂立、執行、結算及解除。



agents, against all losses and expenses resulting from breach of the Customer's obligations under the Agreement including this Addendum, including costs reasonably incurred in collecting debts from the Customer, and in closing the Options Account.

Margin

6. The Customer agrees to provide the Company with cash and/or Securities and/or other assets ("Margin") as may be agreed by the Company from time to time, as security for the Customer's obligations to the Company under the Agreement including this Options Account Addendum. Such Margin shall be paid or delivered as demanded by the Company from time to time. The amounts required by way of Margin shall not be less than, but may exceed, the amounts as may be required by the Rules in respect of the Customer's open positions and delivery obligations, and further Margin may be required to reflect changes in market value.
7. If the Company accepts Securities by way of Margin, the Customer on request provides the Company with such authority as the Company may require under the Rules to authorize the Company to deliver such Securities, directly or through another Options Exchange Participant, to SEOCH as SEOCH Collateral in respect of exchange traded options business resulting from the Customer's instructions to the Company. The Company does not have any further authority from the Customer to borrow or lend the Customer's Securities or otherwise with possession (except to the Customer or on the Customer's) of any of the Customer's Securities for any other purpose.
8. If the Customer fails to comply with any of the Customer's obligations and/or to meet the Customer's liabilities under any of the provisions of the Agreement including this Addendum, including without limitation failure to provide Margin, the Company may:
 - 8.1. decline to accept further instructions in respect of exchange traded options business;
 - 8.2. close out some or all of the Customer's client contracts with the Company;
 - 8.3. enter into contracts or transactions in securities, futures or commodities, in order to settle obligations arising out of or to hedge the risks to which the Company are exposed in relation to the Customer's failure; and/or
 - 8.4. dispose of the Margin or any part thereof, and apply the proceeds thereof to discharge the Customer's liabilities to the Company, and any proceeds remaining after discharge of all the Customer's liabilities to the Company shall be returned to the Customer.

Contracts

9. In respect of all contracts effected on the Customer's instructions, the Customer will pay the Company, within the period notified by the Company, premium, its commission and any other charges, and applicable levies imposed by the Exchange, as have been notified to the Customer. the Company may deduct such premium, commissions, charges and levies from the Options Account.
10. the Company may place limits on the open positions or delivery obligations that the Customer may have at any time. The Customer acknowledges that
 - 10.1. the Company may be required to close out client contracts to comply with position limits by imposed the Exchange and
 - 10.2. if the Company go into default, the default procedures of the Exchange may result in client contracts being closed out, or replaced by client contracts between the Customer and another options exchange participant of the Exchange.
11. At the Customer's request, the Company may agree to the client contracts

5. 客戶同意賠償本公司及其僱員和代理人所有因客戶違反該協議包括期權帳戶附件規定客戶必須履行的責任而招致的損失及開支, 包括因向客戶追收欠債及因終止期權帳戶而合理地招致的費用。

按金

6. 客戶同意不時向本公司提供本公司同意的現金及/或證券及/或其他資產(「按金」), 作為客戶根據該協議包括本期權帳戶附件對本公司所負責任的擔保, 並須應本公司不時的要求支付或提交該等按金。以按金形式要求的數目須不少於(但可超過)規則規定有關客戶未平倉額及交付責任的數額, 並可能因應市值變動要求更多按金。
7. 倘本公司接受證券作按金, 客戶將應要求授權本公司按規則規定直接或透過另一名期權交易所參與者提交該等證券予聯交所期權結算所, 作為客戶指示本公司進行在交易所交易的期權業務的聯交所期權結算所抵押品。本公司並無取得客戶任何其他授權來為任何其他目的而借入或借出客戶的證券或以其他方式不再擁有(除非是給客戶或是得到客戶的指示)客戶的證券。本公司並沒有獲得客戶任何其他授權, 從而借入或借出客戶的證券或為著任何其他目的以其他方式不再管有客戶的任何證券(但該等證券將給予客戶或得到客戶的指示的情況除外)。
8. 假如客戶未有根據該協議包括本期權帳戶附件履行本身的任何責任及/或償還客戶的任何債務, 包括未有提供保證金, 則本公司可:
 - 8.1. 拒絕接受客戶在交易所交易的期權業務給予的進一步指示;
 - 8.2. 將客戶與本公司之間的部份或全部客戶合約平倉;
 - 8.3. 訂立合約或進行證券、期貨或商品的交易以履行所產生的責任或對沖本公司因客戶未有履行責任而須承擔的風險;
 - 8.4. 處置保證金或其在任何部份並將該等處置所得收益清償客戶欠下本公司的債務; 及在客戶欠本公司的一切債務清償後的任何收益餘額支付予客戶。

合約

9. 客戶會在本公司通知的期間內支付本公司所通知客戶根據客戶的指示進行的所有合約的期權金、本公司的佣金、其他費用及交易所的交易徵費。本公司可從期權帳戶中扣除該等期權金、佣金、費用及交易徵費。
10. 本公司可隨時為客戶的未平倉持倉及交付責任訂定限額。客戶知道
 - 10.1. 本公司可能需要將客戶合約平倉以遵守交易所訂定的持倉限額及
 - 10.2. 倘本公司失責, 交易所的失責處理程序可能會導致客戶合約被平倉或由交易所的另一名期權交易所參與者與客戶訂立的客戶合約取代。
11. 在客戶要求下, 本公司可同意根據規則, 以客戶與交易所另一名期權交易所參與者訂立

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between the Customer and the Company being replaced, in accordance with the Rules, by client contracts between the Customer and another options exchange participant of the Exchange.

12. The Customer agrees that the terms of the standard contract for the relevant option series shall apply to each of the Customer's client contracts with the Company, and that all client contracts shall be created, exercised, settled and discharged in accordance with the Rules. On exercise of a client contract by or against the Customer, the Customer will perform the Customer's delivery obligations under the relevant contract, in accordance with the standard contract and as the Customer have been notified by the Company.
13. The Customer acknowledges that, although all Options Contracts are to be executed on the Exchange, the Customer and the Company shall contract as principals under client contracts.
14. The Company will provide, upon the Customer's request, the Customer with the product specifications for options contracts.
15. If the Company fails to meet its obligations to the Customer pursuant to this Addendum, the Customer shall have a right to claim under the investor Compensation Fund established under the Securities and Futures Ordinance.
16. On the expiry day but only on the expiry day, the options system will automatically generate exercise instructions in respect of all open long positions which are in-the-money by or above the percentage prescribed by SEOCH from time to time. However, the Customer may instruct the Company to override such an "automatically generated exercise instruction" before the System Closure on the expiry day in accordance with the Operational Clearing Procedures of SEOCH.

Risk Disclosure Statements

17. The Customer acknowledges that due to the volatile nature of securities markets, the purchase and writing of options over securities carry a high degree of risk.

Warning to option holders

18. Some options may only be exercised on its expiry day (european-style exercise) and other options may be exercised at any time before expiration (american-style exercise). The Customer understands that upon exercise some options require delivery and receipt of the underlying security and that other options require a cash payment.
19. An option is a wasting asset and there is a possibility that as an option holder the Customer may suffer the loss of the total premium paid for the option. The Customer acknowledges that, as an option holder, in order to realise a profit it will be necessary to either exercise the option or close the long option position in the market. Under some circumstances it may be difficult to trade the option due to lack of liquidity in the market. The Customer acknowledges that the Company have no obligation either to exercise a valuable option in the absence of the Customer's instruction or to give to the Customer prior notice the expiration date of the option.

Warning to option writers

20. As a writer of option the Customer may be required to pay additional margin at anytime. The Customer acknowledges that as an option writer, unlike an option holder, the Customer may be liable for unlimited losses based on the rise or fall of the price of the underlying securities and the Customer's gains are limited to the option premium.
21. Additionally, writers of american-style call (put) options may be required at any time before expiry to deliver (pay for) the underlying securities to the full value of the strike price multiplied by the number of underlying securities. The Customer recognises that this obligation may be wholly disproportionate to the value of premium received at the time the options were written and may be required at short notice.

的客戶合約，取代客戶與本公司訂立的客戶合約。

12. 客戶同意有關期權系列的標準合約的條款適用於本公司與客戶之間訂立的每份客戶合約，而所有客戶合約須根據該等規則訂立、行使、交收和解除。客戶行使或被行使客戶合約時，客戶會根據標準合約及本公司通知，履行有關合約的交付責任義務。
13. 客戶確認雖然所有期權合約均在聯交所被執行，客戶及本公司在客戶合約中須以主事人身份訂立合約。
14. 本公司同意應客戶的要求，提供有關期權合約的產品規格。
15. 假如本公司未有依據本期權帳戶附件履行對客戶的責任，客戶有權向根據證券及期貨條例設立的投資者賠償基金索償。
16. 在有關到期日（但亦只限於有關到期日當日），期權系統將就價內值百分比相等於或高於聯交所期權結算所不時釐定的標準的所有價內期權長倉未平倉合約，自動產生行使指示。但客戶可指示本公司按照聯交所期權結算所的《結算運作程序》在有關到期日系統終止前，取消上述的「自動產生行使指示」。

風險披露聲明

17. 客戶知悉由於證券市場時有波動，購入及沽出股票期權須承擔高風險。

對期權持有人的警告

18. 有些期權在到期日方可行使（歐式期權的行使），其他期權可於到期前的任何時間行使（美式期權的行使）。客戶明白有些期權在行使時須以正股交收，而其他期權在行使時則須支付現金。
19. 客戶知悉期權乃損耗性資產，期權持有人可能會損失該期權的全部期權金。客戶作為期權持有人，如欲賺取利潤，必須行使期權或在市場將期權長倉平倉。在某些情況下，因市場流通量不足，買賣期權會出現困難。客戶亦知悉本公司在未獲客戶指示前並無責任行使有價值的期權，亦無責任將期權的到期日預先通知客戶。

對期權沽出人的警告

20. 客戶亦知悉作為期權沽出人，客戶隨時可能要繳付額外的按金。客戶知悉期權沽出人與期權持有人不同，正股價的起伏可令沽出人蒙受無限損失，而期權金乃沽出人的唯一回報。
21. 此外，美式認購（認沽）期權的沽出人可能需要在到期前的任何時候交收正股或支付現金代價，該價格為行使價乘以正股數目的積，客戶明白上述責任可能與沽出期權所收到的期權金的價值完全不成比例，而有關的通知期亦可能甚短。

期貨及期權交易的風險

22. 買賣期權合約或期權的虧蝕風險可以極大。在若干情況下，客戶所蒙受的虧蝕可能會超過最初存入的保證金數額。即使客戶設定了備用指示，例如「止蝕」或「限價」等指示，亦未必能夠避免損失。市場情況可能使該等指



Risk of trading Futures and Options

22. The risk of loss in trading futures contracts or options is substantial. In some circumstances, the Customer may sustain losses in excess of the Customer's initial margin funds. Placing contingent orders, such as "stop-loss" or "stop-limit" orders, will not necessarily avoid loss. Market conditions may make it impossible to execute such orders. The Customer may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, the Customer's position may be liquidated. The Customer will remain liable for any resulting deficit in the Customer's account. The Customer should therefore study and understand futures contracts and options before the Customer trade and carefully consider whether such trading is suitable in the light of the Customer's own financial position and investment objectives. If the Customer trades options, the Customer should inform the Customer self of exercise and expiration procedures and the Customer's rights and obligations upon exercise or expiry.
23. This brief statement does not disclose all of the risks and other significant aspects of trading in futures and options. In light of the risks, the Customer should undertake such transactions only if the Customer understands the nature of the contracts (and contractual relationships) into which the Customer is entering and the extent of the Customer's exposure to risk. Trading in futures and options is not suitable for many members of the public. The Customer should carefully consider whether trading is appropriate for the Customer in the light of the Customer's experience, objectives, financial resources and other relevant circumstance.
24. Transactions in options carry a high degree of risk. Purchasers and sellers of option should familiarize themselves with the type of options (i.e. put or call) which they contemplate trading and the associated risks. The Customer should calculate the extent to which the value of the options must increase for the Customer's position to become profitable, taking into account the premium and all transaction costs.
25. The purchaser of options may offset or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a futures contract, the purchaser will acquire a futures position with associated liabilities for margin. If the purchased options expire worthless, the Customer will suffer a total loss of the Customer's investment which will consist of the option premium plus transaction costs. If the Customer is contemplating purchasing deep-out-of-the-money options, the Customer should be aware that the chance of such options becoming profitable ordinarily is remote.
26. Selling ('writing' or 'granting' an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of that amount. The seller will be liable for additional margin to maintain the position if the market moves unfavorably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a futures contract, the seller will acquire a position in a futures contract with associated liabilities for margin. If the option is 'covered' by the seller holding a corresponding position in the underlying interest or a futures or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited.
27. Certain exchanges in some jurisdictions permit deferred payment the option premium, exposing the purchaser to liability for margin payments net exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium

示無法執行。客戶可能會在短時間內被要求存入額外的保證金。假如未能在指定的時間內提供所需數額，客戶的未平倉合約可能會被平倉。然而，客戶仍然要對客戶的帳戶內任何因此而出現的欠款數額負責。因此，客戶在買賣前應研究及理解期貨合約及期權，以及根據本身的財政狀況及投資目標，仔細考慮這種買賣是否適合客戶。如果客戶買賣期權，便應熟悉行使期權及期權到期時的程序，以及客戶在行使期權及期權到期時的權利與責任。

23. 本聲明旨在概述買賣期貨及期權的風險，並不涵蓋該等買賣的所有相關風險及其他重要事宜。客戶在進行任何上述交易前，應先瞭解將訂立的合約的性質(及有關的合約關係)和客戶就此須承擔的風險程度。期貨及期權買賣對很多投資者都並不適合，客戶應就本身的投資經驗、投資目標、財政資源及其他相關條件，小心衡量自己是否適合參與該等買賣。
24. 期權交易的風險非常高。投資者不論是購入或出售期權，均應先瞭解其打算買賣的期權類別(即認沽期權或認購期權)以及相關的風險。客戶應計入期權金及所有交易成本，然後計算出期權價值必須增加多少才能獲利。
25. 購入期權的投資者可選擇抵銷或行使期權或任由期權到期。如果期權持有人選擇行使期權，便必須進行現金交收或購入或交付相關的資產。若購入的是期貨產品的期權，期權持有人將獲得期貨倉盤，並附帶相關的保證金責任。如所購入的期權在到期時已無任何價值，客戶將損失所有投資金額，當中包括所有的期權金及交易費用。假如客戶擬購入極價外期權，應注意客戶可以從這類期權獲利的機會極微。
26. 出售(「沽出」或「賣出」)期權承受的風險一般較買入期權高得多。賣方雖然能獲得定額期權金，但亦可能會承受遠高於該筆期權金的損失。倘若市況逆轉，期權賣方便須投入額外保證金來補倉。此外，期權賣方還需承擔買方可能會行使期權的風險，即期權賣方在期權買方行使時有責任以現金進行交收或買入或交付相關資產。若賣出的是期貨產品的期權，則期權賣方將獲得期貨倉盤及附帶的保證金責任(參閱上文「期貨」一節)。若期權賣方持有相應數量的相關資產或期貨或其他期權作「備兌」，則所承受的風險或會減少。假如有關期權並無任何「備兌」安排，虧損風險可以是無限大。
27. 某些國家的交易所允許期權買方延遲支付期權金，令買方支付保證金費用的責任不超過期權金。儘管如此，買方最終仍須承受損失期權金及交易費用的風險。在期權被行使又或到期時，買方有需要支付當時尚未繳付的期權金。

期貨期權的其他常見風險

合約的條款及細則

28. 客戶應向本公司替客戶進行交易的商號查詢
[LA14b2250915]



outstanding at that time.

Additional risks common to Futures and Options

Terms and conditions of contracts

28. The Customer should ask the firm with which the Customer deals about the terms and conditions of the specific futures or options which the Customer is trading and associated obligations (e.g. the circumstances under which the Customer may become obliged to make or take delivery of the underlying interest of a futures contract and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.

Suspension or restriction trading and pricing relationships

29. Market conditions (e.g. illiquidity) and/or the operation of the rules of certain markets (e.g. the suspension of trading) in any contract or contract month due to price limits or "circuit breakers" may increase the risk loss by making it difficult or impossible to effect transactions or liquidate/offset positions. If the Customer has sold options, this may increase the risk of loss.

30. Further, normal pricing relationships between the underlying interest and the futures, and the underlying interest and the option may not exist. This can occur when, for example, the futures contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge "fair" value.

Deposited cash and property

31. The Customer should familiarise the Customer self with the protections given to money or other property the Customer deposits for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which the Customer may recover the Customer's money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as the Customer's own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

Commission and other charges

32. Before the Customer begins to trade, the Customer should obtain a clear explanation of all commission, fees and other charges for which the Customer will be liable. These charges will affect the Customer's net profit (if any) or increase the Customer's loss.

Trading facilities

33. Electronic trading facilities are supported by computer-based component systems for the order routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. the Customer's ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary: the Customer should ask the firm with which the Customer deals for details in this respect.

Electronic Trading

34. Trading on an electronic trading system may differ from trading on other electronic trading systems. If the Customer undertake transactions on an electronic trading system, the Customer will be exposed to risks associated with the system including the failure of hardware and software. The result of any failure may be that the Customer's order is either not executed according to the Customer's instructions or is not executed at all.

Transaction in other jurisdictions

35. Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose the Customer to additional risk. Such markets may be subject to regulation which may offer different or

所買賣雙方的有關期貨或期權合約的條款及細則，以及有關責任（例如在什麼情況下客戶或會有責任就期貨合約的相關資產進行交收，或就期權而言，期權的到期日及行使的時間限制）。交易所或結算公司在某些情況下，或會修改尚未行使的合約的細則（包括期權行使價），以反映合約的相關資產的變化。

暫停或限制交易及價格關係

29. 市場情況（例如市場流通量不足）及/或某些市場規則的施行（例如因價格限制或「停板」措施而暫停任何合約或合約月份的交易），都可以增加虧損風險，這是因為投資者屆時將難以或無法執行交易或平掉/抵銷倉盤。如果客戶賣出期權後遇到這種情況，客戶須承受的虧損風險可能會增加。

30. 此外，相關資產與期貨之間以及相關資產與期權之間的正常價格關係可能並不存在。例如，期貨期權所涉及的期貨合約須受價格限制所規限，但期權本身則不受其規限。缺乏相關資產參考價格會導致投資者難以判斷「公平」價格。

存放的現金及財產

31. 如果客戶為在本地或海外進行的交易存放款項或其他財產，客戶應瞭解清楚該等款項或財產會獲得哪些保障，特別是在有關商號破產或無力償還時的保障。至於能追討多少款項或財產一事，可能須受限於具體法例規定或當地的規則。在某些司法管轄區，收回的款項或財產如有不足之數，則可認定屬於客戶的財產將會如現金般按比例分配予客戶。

佣金及其他收費

32. 在開始交易之前，客戶先要清楚瞭解客戶必須繳付的所有佣金、費用或其他收費。這些費用將直接影響客戶可獲得的淨利潤（如有）或增加客戶的虧損。

交易設施

33. 電子交易的設施是以電腦組成系統來進行買賣盤傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而客戶就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，客戶應向本公司為客戶進行交易的商號查詢這方面的詳情。

電子交易

34. 透過某電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果客戶透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致客戶的買賣盤不能根據指示執行，甚或完全不獲執行。

在其他司法管轄區進行交易

35. 在其他司法管轄區的市場（包括與本地市場有正式連繫的市場）進行交易，或會涉及額外的風險。根據這些市場的規例，投資者享有



diminished investor protection. Before the Customer trade the Customer should enquire about any rules relevant to the Customer's particular transactions. The Customer's local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where the Customer's transactions have been effected. The Customer should ask the firm with which the Customer deals for details about the types of redress available in both the Customer's home jurisdiction and other relevant jurisdictions before the Customer starts to trade.

Currency risks

36. The profit or loss in transactions in foreign currency-denominated contracts (whether they are traded in the Customer's own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

Off-Exchange transactions

37. In some jurisdictions, and only then in restricted circumstances, firms are permitted to effect off-exchange transactions. The firm with which the Customer deals may be acting as the Customer's counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before the Customer undertakes such transactions, the Customer should familiarise the Customer self with applicable rules and attendant risks.

General

38. The Customer acknowledges that, although all options contracts are to be executed on the Exchange, the Customer and the Company shall contract as principals under client contracts.
39. The Company agrees to provide the Customer, upon request, with the product specifications for options contracts.
40. The Customer confirms that the Company advised the Customer to read the risks disclosure statements of the relevant products in the websites of the Exchange (www.hkex.com.hk) and of the Company (<https://cisgroup.hk>) from time to time.
41. The Customer confirms that have read and agree to the terms of this Addendum, which have been explained to the Customer in a language that the Customer understands. The Customer also confirms that the Customer has been invited to read the risk disclosure statements, ask questions and take independent advice if the Customer so wishes and the Customer fully understands the risks involved and are prepared to accept such risks.
42. This Addendum is governed by, and be enforced in accordance with, the laws of the Hong Kong Special Administrative Region.

的保障程度可能有所不同, 甚或有所下降。在進行交易前, 客戶應先行查明有關客戶將進行的該項交易的所有規則。客戶本身所在地的監管機構, 將不能迫使客戶已執行的交易所在地的所屬司法管轄區的監管機構或市場執行有關的規則。有鑑於此, 在進行交易之前, 客戶應先向有關商號查詢客戶本身地區所屬的司法管轄區及其他司法管轄區可提供哪種補救措施及有關詳情。

貨幣風險

36. 以外幣計算的合約買賣所帶來的利潤或招致的虧損(不論交易是否在客戶本身所在的司法管轄區或其他地區進行), 均會在需要將合約的單位貨幣兌換成另一種貨幣時受到匯率波動的影響。

場外交易

37. 在某些司法管轄區, 及只有在特定情況之下, 有關商號獲准進行場外交易。為客戶進行交易的商號可能是客戶所進行的買賣的交易對手。在這種情況之下, 有可能難以或根本無法平掉既有倉盤、評估價值、釐定公平價格又或評估風險。因此, 這些交易或會涉及更大的風險。此外, 場外交易的監管或會比較寬鬆, 又或需遵照不同的監管制度; 因此, 客戶在進行該等交易前, 應先瞭解適用的規則和有關的風險。

一般事項

38. 客戶知悉雖然所有期權合約均在交易所執行, 客戶及本公司在客戶合約中仍為當事人。
39. 本公司同意會應客戶的要求向客戶提供期權合約產品資料。
40. 客戶確認本公司已建議客戶不時閱讀交易所 (www.hkex.com.hk) 及本公司 (<https://cisgroup.hk>) 的官網刊登有關產品的風險披露聲明。
41. 客戶確認已詳閱並同意本協議書的條款, 而且該等條款已經以客戶明白的語言向客戶解釋。客戶亦確認已獲邀請閱讀風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願), 而客戶完全明白所涉及的風險及準備接受該等風險。
42. 本協議書受香港特別行政區法律管轄, 並且根據香港特別行政區法律執行。

The Customer's Signature

客戶簽署:

Registered Email 登記電郵:

Date 日期:

